# Institutional Certification for Multicenter Studies[1]

[DATE]
[NAME OF GPA]
GDS Program Administrator
[INSTITUTE], NIH, DHHS
[ADDRESS]
Bethesda, MD 20892-7395

Re: Institutional Certification of [NAME OF INSTITUTION] to Accompany Submission of the Dataset for [NAME OF STUDY] to an NIH-designated data repository.

Dear [NAME OF GPA],

The submission of data to the NIH-designated data repository is being made with institutional approval from [NAME OF SUBMITTING INSTITUTION], along with appropriate institutional approvals from collaborating sites, as listed here:

[List collaborating sites]

The [name of institution] hereby assures that submission of data from the study entitled [name of study] to an NIH-designated data repository meets the following expectations, as defined in the Genomic Data Sharing Policy:

- The data submission is consistent, as appropriate, with applicable national, tribal, and state laws and regulations as well as relevant institutional policies.[2]
- Any limitations on the research use of the data, as expressed in the informed consent documents, are delineated in the table on page 3.[3]

  The use of aggregate-level data for general research use is not inconsistent with informed consent.[4] ☐Yes ☐No

  The display of variant ☐ alleles and/or ☐ frequencies, from this study in public variation archives (i.e., dbSNP and dbVar)[5] is not inconsistent with informed consent. ☐Yes ☐No

- The identities of research participants will not be disclosed to NIH-designated data repositories.

- An Institutional Review Board and/or Privacy Board, and/or equivalent body, as applicable, has reviewed the investigator's proposal for data submission and assures that:
  - The protocol for the collection of genomic and phenotypic data is consistent with 45 CFR Part 46.[6]
  - Data submission and subsequent data sharing for research purposes are consistent with the informed consent of study participants from whom the data were obtained;[7]
  - Consideration was given to risks to individual participants and their families associated with data submitted to NIH-designated data repositories and subsequent sharing;
  - To the extent relevant and possible, consideration was given to risks to groups or populations associated with submitting data to NIH-designated data repositories and subsequent sharing; and
  - The investigator's plan for de-identifying datasets is consistent with the standards outlined in this Policy (see section IV.C.1.).

  **The data are to be made available through ☐unrestricted[8] or ☐controlled-access[9]**

Sincerely,

Authorized Institutional Official:[10]
Name: _____ Title: _____
Signature: _____ Date: _____

Investigator:
Name: _____ Title: _____
Signature: _____ Date: _____

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[1] Certification must be provided for all sites contributing samples. The primary site may submit *one* Institutional Certification indicating that they are providing certification on behalf of all collaborating site. Alternatively, each site providing samples may provide their own Institutional Certification.

[2] For the submission of data derived from cell lines or clinical specimens lacking research consent that were created or collected before the effective date of this Policy, the Institutional Certification needs to address only this item.

[3] For guidance on drafting data use limitations, see NIH Points to Consider in Drafting Effective Data Use Limitation Statements, http://gwas.nih.gov/pdf/NIH_PTC_in_Drafting_DUL_Statements.pdf

[4] Aggregate-level data include summary statistics from the research study, such as allele frequencies or effect sizes and p-values for test of association. If "yes" is checked, your aggregate-level data will be included in the Compilation of Aggregate Genomic Data, a collection of analyses across many dbGaP studies that can be accessed with a single Data Access Request.

[5] The Single Nucleotide Polymorphism Database (dbSNP) is a public archive for genetic variation (apparently neutral polymorphisms, polymorphisms corresponding to known phenotypes, and regions of no variation) within and across species. The Database of Genomic Structural Varian (dbVar) is a collection of genomic structural variation data, typically 50 nucleotides in length or longer, for different organisms. For more information, see: http://www.ncbi.nlm.nih.gov/SNP/ and http://www.ncbi.nlm.nih.gov/dbvar/.

[6] 45 CFR Part 46. Protection of Human Subjects. See http://www.gpo.gov/fdsys/pkg/CFR-2011-title45-vol1/xml/CFR-2011-title45-vol1-part46.xmL

[7] As noted earlier, for studies using data or specimens collected before the effective date of this Policy, the IRB, privacy board, or equivalent body should review informed consent materials to ensure that data submission is not inconsistent with the informed consent provided by the research participants.

[8] Data made publicly available to anyone

[9] Data made available for secondary research only after investigators have obtained approval from NIH to use the requested data for a particular project.

[10] A senior official at an institution who is authorized to enter the institution into a legally binding contract and sign on behalf of an investigator who has submitted data to NIH, e.g., Dean, Vice President for Research.

For guidance on drafting data use limitations, please refer to the NIH Points to Consider in Drafting Effective Data Use Limitation Statements found at: http://gds.nih.gov/pdf/nih_ptc_in_drafting_dul_statements.pdf.

| **Consent Group Title Options (select one of the four categories below)** | **Data Use Limitations** |
|---|---|
| **General Research Use** (select any that apply)<br>IRB approval required | **Use of the data is limited only by the terms of the Data Use Certification.**<br>Requestor must provide documentation of local IRB approval. |
| Publication required | Requestor agrees to make results of studies using the data available to the larger scientific community. |
| Collaboration required | Requestor must provide a letter of collaboration with the primary study investigator(s). |
| Not-for-profit use only | Use of the data is limited to not-for-profit organizations. |
| **Health/Medical/Biomedical** (select any that apply)<br>IRB approval required | **Use of the data is limited to health/medical/biomedical purposes, does not include the study of population origins or ancestry.**<br>Requestor must provide documentation of local IRB approval. |
| Publication required | Requestor agrees to make results of studies using the data available to the larger scientific community. |
| Collaboration required | Requestor must provide a letter of collaboration with the primary study investigator(s). |
| Not-for-profit use only | Use of the data is limited to not-for-profit organizations. |
| Methods | Use of the data includes methods development research (e.g., development of software or algorithms) |
| Genetic studies only | Use of the data is limited to genetic studies only. |
| **Disease-specific [list disease]** (select any that apply)<br>IRB approval required | **Use of the data must be related to the specified disease.**<br>Requestor must provide documentation of local IRB approval. |
| Publication required | Requestor agrees to make results of studies using the data available to the larger scientific community. |
| Collaboration required | Requestor must provide a letter of collaboration with the primary study investigator(s). |
| Not-for-profit use only | Use of the data is limited to not-for-profit organizations. |
| Methods | Use of the data includes methods development research (e.g., development of software or algorithms) |
| Related disorders | Use of the data is limited to genetic studies of the specified disease and related conditions, such as _____. |
| Genetic studies only | Use of the data is limited to genetic studies only. |
| **Other** | [ENTER CUSTOMIZED TEXT, IF APPLICABLE] |

Using the table above, please indicate in the table below the consent group(s) for each collaborating study site

| **Collaborating Site Name** | **Study Name** | **Consent Group Title** |
|---|---|---|
| *Ex. University of Wisconsin* | *Cold Cohort Study* | *Health/Medical/Biomedical* |
| *University of Wisconsin* | *Cold Cohort Study* | *Disease-specific [Lung Cancer] Research*<br>• *IRB approval*<br>• *Methods* |
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